

12-17-01

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Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Application of: O'GRADY et al.

Serial No.: Not yet assigned

Filing Date: Filed herewith

For: SYSTEMS AND METHODS FOR  
TRANSFERRING OWNERSHIP OF AN  
INSURANCE ASSET CASH FLOW VIA  
A TRUE SALE

Examiner: Not yet assigned

Group Art Unit: Not yet assigned

Attorney Docket No.: G05.005

**Box PATENT APPLICATION**

Commissioner for Patents

Washington, D.C. 20231

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Large Entity)**

Sir:

Transmitted herewith for filing under 35 USC 111(a) and 37 CFR 1.53(b) is a new utility patent application for an invention entitled: **SYSTEMS AND METHODS FOR TRANSFERRING OWNERSHIP OF AN INSURANCE ASSET CASH FLOW VIA A TRUE SALE**

and invented by: **O'GRADY et al.**

Enclosed are:

1. ☒ Filing Fee as calculated and transmitted as described below
2. ☒ Specification having 25 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross references to Related Applications (*if applicable*)

- c. ☐ Statement Regarding Federally-sponsored Research/Development
- d. ☐ Reference to Microfiche Appendix *(if applicable)*
- e. ☒ Background of the Invention
- f. ☒ Brief Summary of the Invention
- g. ☒ Brief Description of the Drawings *(if drawings filed)*
- h. ☒ Detailed Description
- i. ☒ Claim(s) as Classified Below
- j. ☒ Abstract of the Disclosure
- 3. ☒ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
  - a. ☒ Formal          Number of Sheets 11
  - b. ☐ Informal          Number of Sheets
- 4. ☒ Oath or Declaration
  - a. ☒ Newly executed *(original or copy)*          ☐ Unexecuted
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))
  - c. ☐ With Power of Attorney          ☐ Without Power of Attorney
  - d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the Prior Application, see 37. CFR 1.63(d)(2) and 1.33(b).
- 5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
- 6. ☒ Assignment Papers *(cover sheet & documents(s))*
- 7. ☐ 37 CFR 3.73(B) Statement *(when there is an assignee)*
- 8. ☐ English Translation Document *(if applicable)*
- 9. ☐ Information Disclosure Statement/PTO-1449          ☐ Copies of IDS Citations
- 10. ☐ Preliminary Amendment
- 11. ☒ Acknowledgement Postcard
- 12. ☒ Mailed Via  
☐ First Class          ☒ Express Mail *(Specify Label No.)* **ET431267296US**
- 13. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
- 14. ☐ Request and Certification under 35 USC 122(b)(2)(B)(i) *(attach PTO/SB/35)*
- 15. ☐ Additional Enclosures: \_\_\_\_\_

### FEE CALCULATION

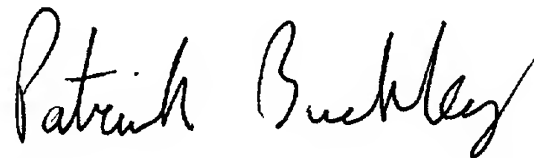
For	No. Filed	No. Allowed	No. Extra	Rate	Fee
Total Claims	24	- 20	4	\$ 18.00	\$ 72.00
Indep. Claims	7	- 3	4	\$ 84.00	\$ 336.00
Multiple Dependent Claims (If applicable, please add \$ 260.00)					\$ 0.00
<b>BASIC FEE</b>					\$ 740.00
<b>OTHER FEE</b> (specify purpose): Assignment Recordation					\$ 40.00
<b>TOTAL FILING FEE</b>					<b>\$1,188.00</b>

A check in the amount of **\$1,188.00** is enclosed.

In addition, the Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1852 as described below. A duplicate copy of this sheet is enclosed.

- ☐ Charge the amount of **\$1,188.00** as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional fees required under 37 CFR 1.16 and 1.17.

Respectfully submitted,



October 30, 2001  
Date

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